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ABSTRACT

The Concerns-Based Adoption Model (CBAM) offers an approach to the study of change by focusing on the needs of individuals and describing their growth over time. Seven Stages of Concern (SoC) have been identified that occur as a teacher adopts an innovation: (1) little concern about or involvement with the innovation; (2) interest in learning more about the innovation, with little personal concern; (3) personal uncertainty about the innovation's demands, concern about adequacy to meet demands, and considerations of potential conflicts with existing structures or commitments; (4) concerns related to processes and tasks of using the innovation and the best use of information and resources; (5) attention focused on impact of innovation on students and changes needed to improve student outcomes; (6) concern focused upon coordination and cooperation with others regarding use of the innovation; and (7) exploration of more universal benefits of the innovation and development of possible alternatives. The concept of Levels of Use (LoU) deals with performance changes as the teacher becomes more familiar with an innovation and skillful in using it. Typical LoU teacher behaviors are: (1) nonuse; (2) information seeking; (3) preparation for use; (4) mechanical, poorly coordinated use; (5) routine use; (6) use integrated and coordinated with others; and (7) use established and effective alternatives sought. An example is given of the use of the CBAM in teacher education, and suggestions are made on the implications of research on change for teacher education. (JD)

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UNDERSTANDING THE CHANGE PROCESS:

A PRIMER FOR TEACHER EDUCATORS

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DETROIT, FEBRUARY, 1981

Understanding the Change Process:
A Primer for Teacher Educators[1]

Shirley M. Hord

Across the land in the past several years, there has been much pontificating and expounding about change. How much has occurred recently in contrast to how much has occurred in all of our past, how rapidly change is presently occurring, in what areas, fields, or aspects of our lives it is manifesting itself, how many individuals change is impacting or will affect in the future, and on and on -- these are some of the various ways our sages, poets, scientists, and mystics are reporting and predicting the role of change in our society and in our lives.

To educators, the concept of change is very important. As educators, we are all interested in bringing about change: in knowledge, values, attitudes, skills, and behaviors. The baseline of education is learning and learning occurs if change results. Thus, change may be exemplified by the refinement, by the modification, or by the replacement of existing knowledge, attitudes, or

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[1]The research described herein was conducted under contract with the National Institute of Education. The opinions expressed are those of the author and do not necessarily reflect the position or policy of the National Institute of Education, and no endorsement by the National Institute of Education should be inferred.

skills. Put simply, change is defined as something new and different for an individual. As teacher educators we have introduced "new" math, discovery science, criterion-referenced reading and a host of other changes in pedagogical approaches to inservice teachers and to would-be teachers. What happens to teachers, the subjects of our change efforts, as we go about our change engineering? That is the focus of this presentation: the individual involved in the process of change. The concepts and ideas to be presented come out of what we have learned from research on change in education.

As a result of research on change in schools and in colleges, the Concerns-Based Adoption Model (Hall, Wallace, and Dorsett, 1973) was developed at the Research and Development Center for Teacher Education at the University of Texas at Austin. The CBAM offers a unique approach to the study of change by focusing on the needs of individuals and describing their growth over time. Thus, this conceptual framework is useful in understanding, monitoring, and facilitating change in the individual person. Two dimensions describe persons as they first begin, and then gain more experience with a new educational process, product, or practice. These dimensions represent a conceptualization of the way the concerns and behaviors of individuals change as they become familiar with and involved in educational change. These ideas apply to teacher educators, as well as to teachers. The dimensions provide checkpoints for monitoring the progress of individuals as a change is considered, adopted, and implemented. Two major dimensions of the model will be reviewed, followed by an example of their use in teacher education. A concluding section will suggest implications for teacher education.

STAGES OF CONCERN (SoC)

Concept of Concerns

Concerns are the feelings, attitudes, thoughts, or reactions an individual has related to an innovation, or some new idea, practice, program, or process. The work of Frances Fuller (1969) focused on the concerns of teachers-in-training as they progressed from early experiences in preservice teacher education programs to being experienced in-service teachers. Fuller labeled this sequence of teacher concerns as unrelated, self, task, and impact. Her work is the base upon which Stages of Concern was built.

An early result of CBAM research was the realization that not only do new teachers go through a sequence of concerns about teaching, but all teachers -- and most probably all individuals -- faced with a new situation have concerns that are identifiable and developmental and are similar to those documented by Fuller. From this research on change, seven Stages of Concern About the Innovation have been identified (Figure 1).

Stages of Concern (SoC) (Hall & Rutherford, 1976) describes the kinds of concerns which the individual may experience across time, related to an innovation. They range from initial self concerns (Stages 1 and 2), "In what ways will I be affected by this innovation?" to concerns related to task (Stage 3), "How can I make this innovation work?" and then to concerns for impact (Stages 4, 5, and 6), "How will using this innovation affect my students?"

Individuals experience a variety of concerns at any one point in time. However, the degree of intensity of different concerns about an innovation will vary depending on the individual's knowledge and experience. Whether the person is using or not using, whether he or she is preparing for use, has just

Figure 1:

STAGES OF CONCERN ABOUT THE INNOVATION*

Impact	6	***REFOCUSING***: The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. individual has definite ideas about alternatives to the proposed or existing form of the innovation.
	5	***COLLABORATION***: The focus is on coordination and cooperation with others regarding use of the innovation.
	4	***CONSEQUENCE***: Attention focuses on impact of the innovation on student in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.
Task	3	***MANAGEMENT***: Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.
Self	2	***PERSONAL***: Individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision making, and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected.
	1	***INFORMATIONAL***: A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use.
Unrelated	0	***AWARENESS***: Little concern about or involvement with the innovation is indicated.

*Original concept from G.E. Hall, R.C. Wallace, Jr., & W.A. Dossett, *A Developmental Conceptualization of the Adoption Process within Educational Institutions* (Austin, Tex.: Research and Development Center for Teacher Education, The University of Texas, 1973).

begun use, or is highly skilled with the innovation, will contribute to the relative intensity of different concerns.

Thus, teachers seldom have concerns at only one stage. Figure 2 illustrates a general sequence that concerns appear to follow. Teachers who are non-users of an innovation generally have concerns high on Stages 0, 1, and 2. They are more concerned about gaining information (Stage 1) or how using the innovation will affect them personally (Stage 2). As they begin to use an innovation, Stage 3 (Management) concerns become higher and more intense. And, when teachers become experienced and skilled with an innovation, it is possible for concerns at Stages 4, 5 and 6 to become more intense with a decrease in Stages 0, 1, 2 and 3 (Hall, George & Rutherford, 1977).

Assessing Concerns

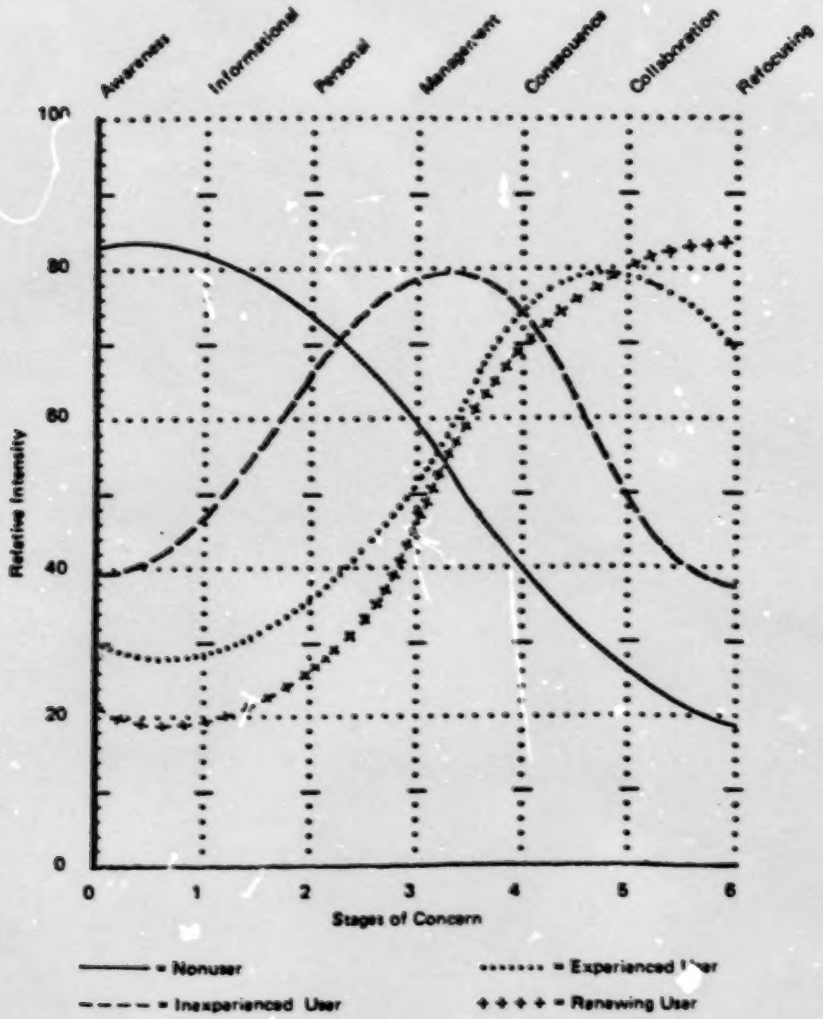
There are several ways to assess concerns. One simple way to do this may be called the "one-legged conference" process. In one-to-one interviews, what appear to be casual questions may be asked to elicit the concerns of individuals. This "listening" technique may be used in telephone calls or when sitting in the coffee room. This technique is informal, and the results should be viewed in the same way. As a basis for determining individual interventions, this technique is effective. Quite obviously, limitations of use stem from the time required, which might prevent its frequent, extensive use.

Another simple way to find out teachers' concerns is to use the Open-Ended Statement of Concerns About an Innovation. Respondents are asked to write complete statements to answer the question:

When you think about _____, what are you concerned about?
(Please be frank and use complete sentences.)

Figure 2:

Hypothesized Development of Stages of Concern



This measure provides a relatively quick way to get a reading of the concerns of clients. A first reading of the sentences for a general overview should reflect the individual's affect and needs. A second reading should reveal more substantive and detailed clues in each sentence. Each statement should be scored for its Stage of Concern. A Manual for Assessing Open-Ended Statements of Concern About an Innovation (Newlove & Hall, 1976) provides more information about interpreting concerns statements.

A third process for assessing concerns is the use of the Stage of Concern About the Innovation Questionnaire (SoCQ) (Hall, George & Rutherford, 1977). This "psychometrically rigorous" paper-and-pencil measure is especially important for research and program evaluation. Individuals respond by indicating their degree of concern on a Likert scale for each of the thirty-five items. Scoring these data by computer program, or manually, results in percentile scores and a profile of concerns for the individual, or for groups.

LEVELS OF USE (LoU)

Concept of Use

A second concept which provides a basis for designing relevant learning activities, inservice, or staff development programs is Levels of Use. This dimension describes how performance changes as the individual becomes more familiar with an innovation and more skillful in using it. Eight distinct Levels of Use have been identified (Hall, Loucks, Rutherford & Newlove, 1975). In general, individuals first "orient" themselves to the innovation. Usually, they begin to use an innovation at a "Mechanical" level, i.e., planning is short-term, and organization and coordination of the innovation are disjointed. As experience increases, innovation use becomes routine, and eventually it may

be refined. At the three refinement levels -- LoU IVB Refinement, LoU V Integration, LoU VI Renewal -- changes are made in the individual's use based on formal and informal assessments of students' needs. See Figure 3 for brief definitions of the eight levels.

Assessing Use

An informal interview may be used by teacher educators, inservice designers, and other facilitators as a means for obtaining clues and hints about an individual's overall Level of Use of a program. Such casual questions as those provided in Figure 4, Branching Questions, help to reveal the level on which a person is performing. These one-to-one interviews provide informal information, useful for selecting individual interventions. Used in concert with the "one-legged" concerns conference, this casual interview provides a "two-legged" conference -- with strengthened descriptors and information about "where a person is" with respect to an innovation. Such interviews yield data for monitoring and facilitating each individual's development and growth related to the innovation.

A second interview procedure has been developed to measure Levels of Use. This focused interview (Loucks, Newlove & Hall, 1976) is based on a prescribed set of questions designed to elicit more rigorous (psychometrically valid and reliable) data. These quantitative data permit the rating of an individual at overall LoU and in seven descriptive categories of use: knowledge, acquiring information, sharing, assessing, planning, status reporting and performing. Such data, obtained by carefully trained and certified interviewers, provide specific information on the state of implementation and are useful for formative and summative evaluation purposes.

Figure 3:

LEVELS OF USE OF THE INNOVATION: TYPICAL BEHAVIORS

LEVEL OF USE	BEHAVIORAL INDICES OF LEVEL
VI RENEWAL	THE USER IS SEEKING MORE EFFECTIVE ALTERNATIVES TO THE ESTABLISHED USE OF THE INNOVATION.
V INTEGRATION	THE USER IS MAKING DELIBERATE EFFORTS TO COORDINATE WITH OTHERS IN USING THE INNOVATION.
IVB REFINEMENT	THE USER IS MAKING CHANGES TO INCREASE OUTCOMES.
IVA ROUTINE	THE USER IS MAKING FEW OR NO CHANGES AND HAS AN ESTABLISHED PATTERN OF USE.
III MECHANICAL USE	THE USER IS USING THE INNOVATION IN A POORLY COORDINATED MANNER AND IS MAKING USER-ORIENTED CHANGES.
II PREPARATION	THE USER IS PREPARING TO USE THE INNOVATION.
I ORIENTATION	THE USER IS SEEKING OUT INFORMATION ABOUT THE INNOVATION.
0 NONUSE	NO ACTION IS BEING TAKEN WITH RESPECT TO THE INNOVATION.

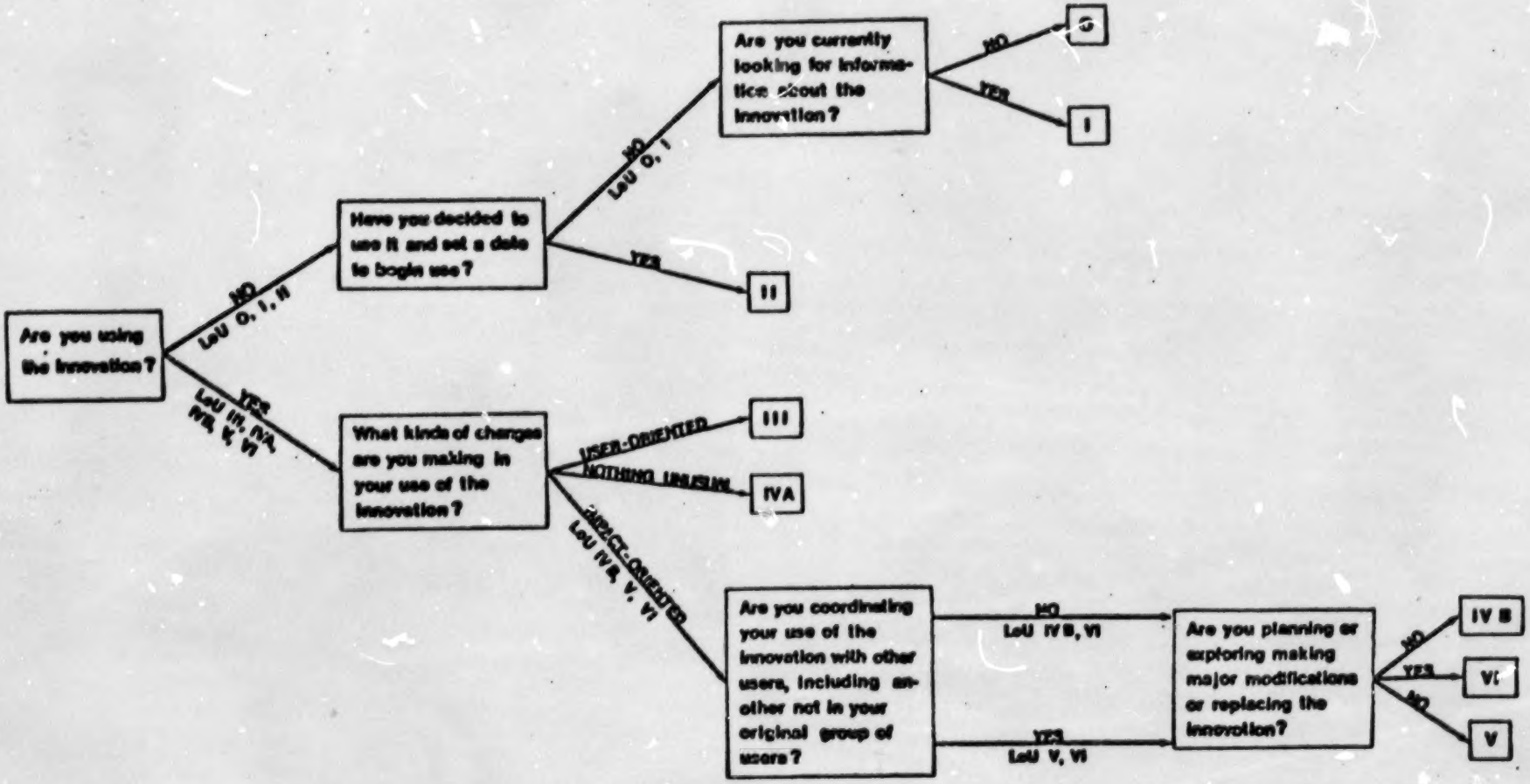


Figure 4: Overview of Branching Format of the LoU Interview

Excerpt from: Loucks, S. F., Newlove, B. W, & Hall, G. E. Measuring Levels of Use of the Innovation: A Manual for Trainers, Interviewers, and Raters. Austin: Research and Development Center for Teacher Education, University of Texas, 1975.

AN EXAMPLE: USING SoC/LoU IN TEACHER EDUCATION

How can the concepts and measures of Stages of Concern (SoC) and Levels of Use (LoU) be applied to teacher education? What is their utility for teacher educators? A brief scenario is provided as an illustration.

Imagine that a mandate for change has occurred. It might have resulted from enactment of federal policy decisions, such as P.L. 94-142, the "mainstreaming law," or from an internal needs assessment and goal setting process done by a college curriculum and teaching faculty. In any case, whether externally invoked or internally developed, a new program, practice, or idea is expected to be implemented.

To make the example more concrete, consider the implementation of mainstreaming concepts in college preservice preparatory courses and the use of SoC and LoU as facilitative tools and monitoring techniques. Shortly after the Dean announces to the faculty of teacher educators that the new concepts will need to be integrated into existing courses vis-a-vis appropriately designed learning experiences, the SoC questionnaire could be used by the Dean or other designated agent of change to ascertain the teacher educators' concerns. Most certainly, unless some faculty members have had prior experience with mainstreaming, all individuals will have concerns high on Stages 0 (Awareness), 1 (Informational), and 2 (Personal). An LoU interview would likely rate everyone at non-user level. Considering these data, an awareness session for faculty is in order. This meeting would convey general information about what is expected to happen when, what this "new" thing is, and how individuals will be involved -- thus, responding to Stages 0, 1, and 2 Concerns.

As inservice sessions for the faculty are provided, concerns data should be periodically collected, as a basis for responding to the faculty's changing concerns via appropriately designed inservice and other interventions (Hall, Zigarmi, Hord, 1979). Over time, as individuals begin to use the new concepts in their courses, Stage 3 (Management) concerns will be higher. At this time, LoU assessment would likely reflect that faculty who are in their first use of the mainstreaming ideas are doing so in a less than well organized or smooth manner, LoU III. An LoU interview would also reveal which individuals may still be at LoU II Organization or LoU I Orientation. At whatever stage or level, those in facilitating roles would respond to individuals with appropriately targeted help and other interventions (Hord, Hall, Zigarmi, 1980) across the entire 2-3 years or more implementation period.

In like manner, the teacher educator might use the CBAM tools with teachers in order to diagnose their concerns and needs as they learn about and begin to use mainstreaming with their pupils. The use of CBAM techniques not only provides for data- based decisions about what supportive and facilitative actions are to be taken, but also makes it possible to systematically document change in both teacher educators and in teachers.

IMPLICATIONS OF CHANGE RESEARCH FOR TEACHER EDUCATION

What happens to individuals as they are involved in the change process has been described. An example of the use of CBAM tools in teacher education has been very briefly suggested. What significance does this have for teacher educators, especially those engaged in inservice activities? From this brief review, a number of implications can be considered:

Educational change is a process, not an event. Teachers, and teacher educators, do not change just because a decision maker makes an announcement or new curriculum materials are delivered to the classroom, or the federal government issues a mandate. Rather, there is an extended period of gradual behavior or attitude change with regard to a new program or practice. There will need to be planned learning activities spread over time and paced in relationship to the changing concerns of the individuals involved.

Change does take time. The more complex or complicated the change, the more time is required to accomplish it, and therefore the more long range and programmatic learning experiences will need to be.

Change is a personal experience. Pre-service and inservice teachers and teacher educators have concerns. Depending on many factors, these concerns vary. Teacher educators can use Stages of Concern (SoC) to help in diagnosing, planning, delivering, and assessing activities which will be relevant and address teachers' concerns. For example, pre- or inservice teachers with high Management concerns about their new program will not respond very positively to suggestions about individualizing the lessons for increased impact on student learning.

Personal concerns are legitimate. Individuals react differently to different changes, and criticizing individuals for having lower Stages of Concern is inappropriate. SoC is not a tool for evaluating individuals. It does help to provide sensitivity to individual differences, and therefore can be useful in attending to peoples' needs while monitoring change, and for making decisions about support and training.

It is not possible to document change with a single data collection point. How much individual and institutional change has been accomplished and at what rate cannot be revealed by a one-time snapshot of change activity. How concerns and levels of use of individuals change in relation to activities that have been conducted can only be understood through use of periodic assessments.

Too often management of change is left to chance and intuitive best intentions. Teacher educators need diagnostic tools which can provide data to help them make decisions on how best to allocate their time, energy and other resources. Successful change must be carefully attended to and grounded in relevant information.

Federally mandated change in education is not new. Such mandates have been occurring regularly for the last 10-15 years. The enactment of Public Law 94-142, which provides funds for supporting implementation of the law, is an unusual and exciting step forward in the federal funding scene. For the first time, a law mandating a drastic change in the functioning of schools also gave attention to the fact that the change would require new training, resources and technical assistance for teachers in the context of teacher preservice preparation. What does institutionalization of mainstreaming mean in a school and a teacher education program? How will you know it has been accomplished? What does the teacher education faculty have to be doing? Describing individuals over time as they are engaged in the implementation of mainstreaming may contribute responses to these and other questions.

In conclusion, these is certain to be no decrease in the amount of change directed toward educational institutions. Policy makers, administrators, teacher educators, teachers who must carry out change with kids, the kids, and

their parents all need more information about what it takes to effectively and efficiently implement new educational pra tices. Not only is more research on change needed, but further illumination could be gained through the sharing of experiences by teacher educators as they engage in the process of bringing about change in individuals and in their institutions.

As we learn more about change and how it affects us, we learn also how to use it to our advantage, rather than becoming a casualty of it. Learning itself is just that -- a change we make that is of benefit to us. As change continues, therefore, learning must also continue. The more we all learn, the more we are able to cope with the constant change we face and to benefit from it as much as we humanly can.

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